

STANDARDS FOR UTAH'S PUBLIC LIBRARIES



3/12/2013

2013 – 2014 STATE OF UTAH
CERTIFICATION



STANDARDS FOR UTAH'S PUBLIC LIBRARIES

CREATING THE FUTURE FOR UTAH LIBRARIES

Dear Utah Public Library Community,

Thank you for taking the time and effort to provide the best possible service for Utah's citizens. By achieving Certification you demonstrate to your customers, your community and your colleagues that you care deeply about the quality of service you provide.

By achieving Certification through this process, which your colleagues helped to create, Utah State Library is able to recognize your dedication and talent by sharing the Community Library Enhancement Funds appropriated by the Legislature. We hope these funds enable you to go that extra mile to provide the services that you might not have otherwise been able to afford.

Annually the State Library staff look forward to seeing how you have progressed, as well as learning ways in which we can better assist you to serve your customers and community. Together we can provide all Utahns with the free and valuable access to information that they deserve. It is why we are librarians – to serve.

Best Regards,
Donna



DONNA JONES MORRIS, STATE LIBRARIAN

AUTHORITY

Utah Code Annotated (UCA) §9-7-205 (1) (n)

PURPOSE

The Standards provide a measure of the quality of library services provided by Utah's public libraries. They help provide libraries with leverage to encourage sustainable levels of support in the community, and they determine eligibility to receive certain services and funds through the Utah State Library. The Standards process also recognizes those libraries that provide quality library service. Libraries in Utah serving a population of 50,000 or less are subject to the certification process. Libraries serving over 50,000 are automatically considered certified if they comply with state law, and are exempt from the certification process.

WHAT IS A PUBLIC LIBRARY?

The Utah Code defines a public library as a library that is established and maintained by a county, city, or library district. (UCA §9-7-401, 501).

CERTIFICATION REQUIREMENTS & BENEFITS

The Standards provide a tool to measure the efforts of Utah's public libraries to provide quality service to local communities. They represent a baseline in the areas of governance, funding, access, personnel, resources, technology, facilities, marketing, administration, and advocacy.

Libraries that meet the Standards are Certified Utah Public Libraries. Certified libraries are eligible to receive the following benefits:

1. Federal Library Services and Technology Act (LSTA) funds, when available for subgrant distribution,
2. State Funds distributed to libraries – the Community Library Enhancement Fund (CLEF),
3. Training, consultation services, and technical expertise

CERTIFICATION PROCESS & CALENDAR

NEW PUBLIC LIBRARY CERTIFICATION APPLICATION (SEE APPENDIX A)

All Utah public libraries are eligible to apply for certification after they have been established by city, county, or governing body for at least three years. The deadline for submitting an application for new library certification is September 1. The city, county, or governing body should submit an Application for Initial Certification to the Director of the Utah State Library Division (USL) and follow the Application Process, Certification Checklist, and Other Eligibility Criteria, outlined in Appendix A.

CERTIFICATION RENEWAL

All libraries currently certified under previous versions of these standards will be considered eligible for certification renewal under the new standards. Public library certification must be renewed annually. The renewal will consist of the completion of certification standards and an interview with the library's consultant, which will take place between March 1 and June 30. Successful libraries will be certified for benefits during the next fiscal year beginning July 1.

A certified library that fails to meet certification requirements (except Benchmark requirements) by the completion of the certification renewal period will continue to be certified for benefits for the next fiscal year and will be considered provisionally certified during this period. During July – September of this year the provisionally certified library must provide a plan to meet certification requirements which indicates the month and year that this will take place. This month and year can be no later than December of the year following the provisional year. A certified library that fails to meet Benchmark certification requirements by the completion of the certification renewal period will continue to be certified for benefits for the next 2 fiscal years, and will be considered provisionally certified during this period. During July – September of the first provisional year, the certified library must provide a plan to meet certification requirements by the end of the second provisional year. Failure to meet certification requirements in the specified month and year will result in suspension of certification. The library that has had certification suspended can regain certification status at the next certification renewal period, provided the requirements have been met. In this case, benefits would resume in the fiscal year following the regaining of certification status.

EXAMPLE: LIBRARY GOES THROUGH CERTIFICATION PROCESS IN FY2011 FOR FY2012 AND FAILS. LIBRARY WILL STILL BE CONSIDERED CERTIFIED FOR FY2012; LIBRARY GOES THROUGH CERTIFICATION PROCESS IN FY2012 AND FAILS. LIBRARY WILL BE DECERTIFIED FOR FY 2013. IF, DURING THE CERTIFICATION PROCESS IN FY 2013, THE LIBRARY HAS MET ALL CERTIFICATION REQUIREMENTS, THE LIBRARY'S CERTIFICATION WILL BE REINSTATED FOR FY 2014.

Libraries may appeal a decertification decision of the USL Director to the State Library Board within 30 days of receipt of the letter, specifying their reasons why they believe they are qualified for certification, or pending certification status. The decision of the State Library Board of a decertification appeal is final. The decision of the State Library Board of a non-certification appeal is final.

QUALITY LIBRARY STATUS

During the renewal process, the renewing library may complete the **Quality Library** portion of the certification standards. The library's USL consultant will review this portion with the library director, and library eligibility for Quality Library status will be determined by USL consultants prior to next fiscal year.

TIMELINE EXAMPLES

New Library

- Applies for Certification by September 1
- Certification examination completed and Certified by December 31
- Eligible for CLEF benefits beginning July 1

Certification Renewal

- Library undergoes certification examination between March 1 and June 30
- Eligible for CLEF benefits beginning July 1



ANNUAL CERTIFICATION REVIEW

These standards will be reviewed annually by a committee of Utah public library directors and USL staff prior to the opening of the certification window in March. The committee will include established certified libraries and, if possible, a recently certified library.

BASIC CERTIFICATION STANDARDS – REQUIRED

APPLICABLE TO LIBRARY SERVICE JURISDICTIONS UNDER 50,000 POPULATION

GOVERNANCE

1. The Library's Board of Directors has five to nine current members.
☐ Yes ☐ No

2. The Library has a current policy that implements and is in compliance with Utah's Open Meetings Law, UCA §52-4-201, which includes the following requirements:
☐ Yes ☐ No
 - Board Meetings are open to the public
 - Announcements of meetings with agendas are posted in accordance with the above section
 - Written minutes are taken at each meeting
 - Each Board meeting is recorded, with the recording being made available to the public within three days
 - The Board has adopted a rule governing the use of electronic meetings. (UCA §52-4-207(2))

3. The Board has approved and is operating under a long-range plan (minimum three years) that contains:
☐ Yes ☐ No
 - Provision for replacement and enhancement of library technology
 - Specific and quantifiable goals

4. Internet Access Policy – The library has an Internet and Online Access Policy in accordance with UCA § 9-7-215 and 216, and Utah Administrative Rule R223-2
☐ Yes ☐ No

5. All Board members have had formal training and / or orientation within the last five years; this training was provided by the library director or local government representative, or through attendance at relevant Utah Library Association workshops, or by a consultant from the Utah State Library
☐ Yes ☐ No

ADMINISTRATION

6. All board members include publicly available contact information on their directory listing, available at a service desk or on the website.

☐ Yes ☐ No

7. The Library has submitted the following:

- a. Statistical Annual Report

☐ Yes ☐ No

- b. CLEF Expenditure Report

☐ Yes ☐ No

- c. Summer Reading Program Evaluation Report

☐ Yes ☐ No

- d. Triennial Internet and Online Access Policy, and letter affirming the policy is in compliance with UCA §9-7-215 and 216

☐ Yes ☐ No

FUNDING / FINANCES

8. **Maintenance of Effort Compliance** – The library jurisdiction complies with Maintenance of Effort (MOE) funding support for the library (decrease of less than 10%). MOE is defined as follows: the percentage of increase (decrease) in operational expenditures from average of past three fiscal years to the previous fiscal year. Automated entry.

- Prior Fiscal Year Operating Expenditures (local government funds only) _____

- 2nd Year Prior Fiscal Year Operating Expenditures (local government funds only) _____

- 3rd Year Prior Fiscal Year Operating Expenditures (local government funds only) _____

- MOE = %. _____

9. Local Government Support Compliance – 65% of operating expenditures come from jurisdictional tax revenues. Automated entry.

☐ Yes ☐ No

PERSONNEL

10. Qualifications of the Director / Staff

☐

The library director has an ALA accredited library degree or has received formal training in the management of libraries or related institutions.

☐

The Library Director has acquired (or will acquire within the next three years) training in the management of libraries through USL's UPLIFT program.

Newly appointed directors must complete the Utah State Library Director Orientation program within 6 months of date of hire.

11. Training of Director and Staff – Training in areas that enhance work abilities.

☐

Libraries with less than 1 FTE: Library Director received at least 23 contact hours of training in the most recent year.

☐

Libraries serving less than 25,000 with 1 FTE or more: The library staff and director combined received at least 50 contact hours of training in the most recent year.

☐

Libraries serving 25,000 or more: Library staff and Director combined received at least 100 contact hours of training in the most recent year.

ACCESS AND SERVICES

12. Circulation System – The library operates an automated circulation system, or participates in a consortium that operates an automated circulation system

☐Yes

☐No

13. Internet Presence – The library maintains a website, which provides:

a. Contact information for the library director

☐Yes

☐No

b. A schedule of programs at the library

☐Yes

☐No

c. A catalog of materials that allows the public to place holds and renew materials online

☐Yes

☐No

d. Online resources available through Pioneer: Utah's Online Library

☐Yes

☐No

e. A way for library users to contact library staff to obtain reference information or assistance

☐Yes

☐No

14. Operating Hours *Non-duplicated hours. Non-duplicated hours means that only one library in a system is counted for each time period. Evening / weekend hours means service hours after 5 PM on weekdays, Saturday, and Sunday / 30% of minimum open hours for population category.*

☐

Libraries serving less than 2,500: 23 non-duplicated hours per week. At least 7 evening / weekend hours. Posted Weekly Hours _____

☐

Libraries serving between 2,500 and 5,000: 25 non-duplicated hours per week. At least 8 evening / weekend hours. Posted Weekly Hours _____

☐

Libraries serving between 5,000 and 25,000: 38 non-duplicated hours per week. At least 11 evening / weekend hours. Posted Weekly Hours _____

☐

Libraries serving between 25,000 and 50,000: 52 non-duplicated hours per week. At least 16 evening / weekend hours. Posted Weekly Hours _____

MATERIALS AND RESOURCES

15. The Library has a collection development policy approved by the Library Board.

☐Yes

☐No

TECHNOLOGY

16. Libraries serving more than 5,000 people have wireless internet access available for their users.

☐Yes

☐No

17. The Library has skilled technical support, either provided by city / county or through private contractor, to provide troubleshooting and maintenance.

☐Yes

☐No

18. Internet connection speeds exceed 768kbps (download).

☐Yes

☐No

Indicate actual connection speed (download): _____



KEY STATISTICAL BENCHMARKS (2012 BENCHMARKS)

The Benchmark for each of the categories below is set at the level that 90% of Utah's certified libraries currently meet or exceed. A Certified library should meet or exceed the benchmark in at least 6 of the 10 categories. Your consultant will provide you with a table indicating where your library stands against the Benchmarks (see the example on page 10).

To do your own calculation, follow this example:

Library Visits – 1) multiply the Benchmark indicated below by your library's service population; that is your library's Benchmark number. 2) compare this number with your actual number of visitors in your most recent statistical year. 3) If your actual number of visitors is higher than the Benchmark number, you have passed that category.

For your convenience, we have also provided a figure for calculating the level of an "average" library (the 50th percentile) and an "above-average" library (the 70th percentile) in each category.

LIBRARY SUPPORT BY THE COMMUNITY

1. **Library Visits** - Number of visitors
Benchmark: 4 visits per capita
50th Percentile: 6 70th Percentile: 8
2. **Circulation** - Number of items circulated
Benchmark: 7 circulation items per capita
50th Percentile: 11 70th Percentile: 13
3. **Technology Access** - Number of internet / computer users
Benchmark: .6 internet / computer users per capita
50th Percentile: 1.3 70th Percentile: 1.9
4. **Programming** - Number of program attendees
Benchmark: .2 program attendees per capita
50th Percentile: .5 70th Percentile: .8
5. **Turnover Rate**
Benchmark: 1
50th Percentile: 2 70th Percentile: 3

LIBRARY SUPPORT BY THE CITY / COUNTY

1. **Collections Budget** - Expenditures for Collections (books, magazines, audio, video media, online digital media and resources)
Benchmark: 8% of Total Expenditures
50th Percentile: 13% 70th Percentile: 17%

2. **Local Operating Expenditures**
Benchmark: \$14 per capita
50th Percentile: \$25 70th Percentile: \$30
3. **Staffing Levels** - Number of paid FTE
Benchmark: .0003 per capita
50th Percentile: .0005 70th Percentile: .0007
4. **Technology Access** - Number of public internet workstations
Benchmark: .00045 Internet workstations per capita
50th Percentile: .0015 70th Percentile: .0024
5. **Programming** - Number of programs
Benchmark: .006 programs per capita
50th Percentile: .0018 70th Percentile: .025

SAMPLE KEY STATISTICAL INDICATOR PAGE

RICHFIELD PUBLIC LIBRARY

Must meet or exceed annual benchmarks in 6 of the 10 categories.

LIBRARY SUPPORT BY THE COMMUNITY	Benchmark	Actual (2012)
Library Visits - Number of visitors	30,000	48,000
Circulation - Number of items circulated	53,000	57,000
Technology Access - Number of internet / computer users	4600	9600
Programming - Number of program attendees	1600	4100
Turnover Rate	1	1
LIBRARY SUPPORT BY THE CITY / COUNTY	Benchmark	Actual (2012)
Collections Budget - Expenditures for Collections (books, magazines, audio, video media, online digital media and resources)	\$11,000	\$12,000
Local Operating Expenditures	\$107,000	\$134,652
Staffing Levels - Number of paid FTE	2.3	3.1
Technology Access - Number of public internet workstations	4	12
Programming - Number of programs	46	130



QUALITY PROFILE – OPTIONAL

QUALITY LIBRARY DESIGNATION

Certified Libraries meeting five or more of the following criteria may be designated as Certified Quality Libraries at the request of the library during the certification process. These libraries will not have to be certified in the year following their quality library designation.

If the library director opts to participate in the Quality Library Designation, the director will complete the following information. Final decision on meeting the quality designation items will be by the USL public library consulting group.

1. The library reaches beyond its physical space to provide collections or services to community organizations. Check at least one of the following:

- ☐ Service to home-bound users (an advertised formal library service available to all residents unable to visit the library)
 - Description of service _____
 - Number of persons using the service _____
- ☐ Deposit collections at external community locations (an advertised formal library service available to users of community organizations and agencies)
 - Description of service _____
 - Number of persons using the service _____
- ☐ Library programs presented at external community locations
 - Description of service _____
 - Number of persons using the service in _____
- ☐ Other library services provided at external community locations
 - Description of service _____
 - Number of items circulated _____
 - Number of persons using the service _____

2. The library meets or exceeds the 70th percentile of five or more key statistical measures.

- ☐ Yes
 - List the measures that the library meets or exceeds the 70th percentile

3. Online Experience – The Library’s website includes the following:

- ☐ Access to downloadable e-books and audiobooks on the front page
- ☐ Social media links (at least 3) from the front page (Facebook, Twitter, Forum, RSS Feeds, Flickr)
- ☐ Dynamic content on front page (changing news, features)

4. The Library is proactive in obtaining materials for users based upon their requests for items not currently in the library’s collections and/or is an active lender in the Utah library community. The library must meet at least one of the following criteria:

- ☐ The library is a member of OCLC and lends materials to other libraries
- ☐ The library exceeds the median number of ILL requests from its users, as provided by the Utah State Library
- ☐ Providing extra effort to obtain materials
 - The library provides an online form for patrons to request materials not currently in the library’s collection (automated response)
 - The library purchases materials based on patron requests
 - Number of requests received for materials not in the library’s collection _____
 - Number of purchases made in response to these requests _____

5. The Library encourages all staff to participate in Utah’s library community.

- ☐ The Library pays Utah Library Association dues for at least the Board Chair and 50% of full-time employees.

6. The Library participates in Literacy Experiences – The Library provides ongoing training for parents on emergent literacy skills (for example, Utah Kids Ready To Read) or otherwise works with local schools as a collaborative partner to provide sustained programs and services that emphasize literacy.

- ☐ Describe specific literacy efforts by the Library. Do not include work from an affiliated Literacy Center that may be housed in the library. May include: Amount, Ongoing Emergent Literacy Activity, UKRTR affiliation, school or literacy organization.

7. Training / workshops for patrons – The Library must meet both of the following criteria:

- ☐ Library staff Pioneer expertise
The library has 1 FTE or 25% of its public service staff, whichever is greater, that provide ongoing instructional workshops / programs about Public Pioneer and the use of other internet resources.
- ☐ The Library provides at least 50% of the funds and staff resources for at least 12 workshops annually on topics of interest to the community
List workshops_____

8. Engaged in a collaboration with another library to provide services, resources, or programs to the community. The other library can be any type of library.

- a. The collaboration must include active, substantial participation by both libraries (e.g. contributes 40% of the funding or active participation by library staff).
- b. The collaboration must be ongoing or be a multi-faceted collaboration.
- c. The collaboration must have resulted in significant public participation.

Describe the collaboration, and include evidence of each of the requirements.

9. Engaged in a collaboration with another community organization or local experts to provide services, resources, or programs to the community.

- a. The collaboration must include active, substantial participation by both partners (e.g. contributes 50% of the funding or active participation by staff).
- b. The collaboration must be ongoing or be a multi-faceted collaboration.
- c. The collaboration must have resulted in significant public participation.

Describe the collaboration, and include evidence of each of the requirements.

APPENDIX A

APPLICATION FOR INITIAL CERTIFICATION

- Date of Application _____
- Official Name of Public Library _____
- Library Director _____
- Board of Trustees Chair _____

I. APPLICATION PROCESS

1. The formal **Application for Initial Certification as a Public Library** is a letter submitted to the Director, Utah State Library Division, signed by a member of the city / county or governing body and the library board chairperson requesting an Initial Certification Review. The application must be accompanied by a packet of relevant documentation (in four print copies, and electronic documents if possible) to support the library's request, and as evidence of being qualified for certification. Deadline for application submission in order to be eligible for following year funds is September 1. A public library must have been in operation at least three years to qualify for certification.
2. The assigned USL consultant will meet with a member of the city / county or governing body, members of the library board, and the Library Director to review the Certification Requirements and conduct an initial certification review.
3. Based on the results of this initial certification review, the consultant will recommend one of four categories for the library:
 - A. **Ineligible for Certification** – the library has not completed three previous years of operation.
 - B. **Full Certification** – if the library meets all certification requirements at the time of the evaluation, the library will be certified for benefits in the following fiscal year.
 - C. **Pending Certification** – if the library will meet all certification requirements by December 31, it will be certified at that time for benefits in the following fiscal year.
 - D. **Not Ready for Certification** – if the library cannot meet all certification requirements by December 31, it must reapply no sooner than the next application window.
4. The USL Director will appoint a panel of qualified USL staff to review the application. This panel may include external experts as well. The review panel will recommend one of the four categories based on their assessment of the documentation contained in the application, and will forward their recommendation to the Director within 60 days of receiving the application. This process may include a site visit by representatives of USL.
5. The USL Director will review the consultant's and the review panel's recommendations and make a final decision. The library will be notified of the USL Director's decision by letter within 90 days of receipt of

the application.

6. Libraries may appeal a certification decision of the USL Director to the State Library Board within 30 days of receipt of the letter, specifying their reasons why they believe they are qualified for certification, or pending certification status.
7. New libraries with a legal service area of less than 1,000 population, as established by the most current official data, are not eligible to be certified. Major libraries / library systems with legal service areas of over 50,000 population are not subject to these certification standards

II. CERTIFICATION CHECKLIST (DOCUMENTS & EVIDENCE)

An application packet for initial certification should include, but is not limited to, the following documentation.

Official documents:

1. Official establishment of the library by the jurisdiction
 - ☐ Officially constituted library board
 - ☐ Library board by-laws
 - ☐ Current population data, if the jurisdiction's population is borderline of the critical populations of 1,000, 2,500 or 100,000, or includes other jurisdiction as part of the "legal service area"
 - ☐ City and library budgets, and history of maintenance of effort (MOE) demonstrating that a stable history of adequate funding from jurisdiction tax sources exists, as well as adequate collection development expenditures, and upgrading and supporting technology
 - ☐ Plans for library physical facility improvement, or expansion over time
2. Other essential documents and policies, including:
 - ☐ Strategic, or long-range plan covering three years
 - ☐ Technology plan (part of the strategic, or long-range plan)
 - ☐ Collection development policy, and evidence of integration with long-range plan goals
 - ☐ Internet access policy (Utah Code Ann. §9-7-215 & 216)
3. Evidence of other certification standards, including:
 - ☐ Library's telephone number listed in the community directory, and numerous other places within the community (Legal Service Area)
 - ☐ Photographs of the library facility showing signage, ADA compliance, etc.
 - ☐ Published hours of operation
 - ☐ Evidence that the library is capable and willing to participate in inter-library loan activities
 - ☐ Information about the automated circulation system, cataloging standards used, and evidence of access to technical support
 - ☐ Website URL, and patron access to electronic resources

- ☐ Library director's qualifications, and evidence of interest in continuing education
- ☐ Library staffing full time equivalence (FTE) level, and shared duties
- ☐ Orientation for new Library board members
- ☐ Library advocacy activities by the director and board members
- ☐ Library outreach programs, such as summer reading program, as evidence of the library's broader contributions to the community

III. OTHER ELIGIBILITY CRITERIA (SUCCESSFUL CONDITIONS & PRACTICES)

1. Successful public libraries must demonstrate the attributes and conditions that are the hallmark of a library with potential for long term success, including:
 - ☐ Evidence of long term support from jurisdiction officials
 - ☐ Evidence of a library board that understands and executes its legal and fiduciary responsibilities for guiding the library's operation long term
 - ☐ Evidence of a well-developed, professional working relationship between library board members and director
2. Successful public libraries must have substantial community support, including:
 - ☐ Evidence of substantial (based on population) community support for the library in terms of gate count, circulation, attendance at programs
 - ☐ Evidence of support from volunteers, or a well-established, productive *Friends of the Library* organization
 - ☐ Evidence of financial and material support from community donors
3. Successful public libraries must be staffed with experienced and knowledgeable staff, including:
 - ☐ A library director with some formal library experience
 - ☐ Library staff that demonstrates some knowledge of library operations
 - ☐ Ability to assess community needs and implement innovative library programming

APPENDIX B

REFERENCES TO UTAH CODE

- [Utah Code Annotated §9-7-205 \(1\) \(n\)](#)
- Utah Code Annotated [§9-7-215](#) and [§9-7-216](#) (Internet and Online Access Policy in accordance with [Administrative Rule R223-2](#))
- [Utah Code Annotated §9-7-401](#) (Public Libraries)
- [Utah Code Annotated §9-7-501](#) (County Libraries)
- [Utah Code Annotated §52-4-201](#) (Utah's Open Meetings Law)
- [Utah Code Annotated §52-4-207\(2\)](#) (Requirements Governing Electronic Meetings)